

Robert D. Voth Holmes, Peck & Brown, Inc.

Stipulation for Consent Order and Consent Order

DATE: November 13, 2001 RESPONDENTS: Robert D. Voth and Holmes, Peck & Brown, Inc., of Lawrence, Kansas ORDER: In a Stipulation for Consent Order, the Commissioner's staff alleged that Robert D. Voth, as President of Holmes, Peck & Brown, Inc., sold unregistered promissory notes on seven occasions in 1999 and 2000. The respondents did not admit the alleged violations of the securities act, but chose not to contest the entry of a Consent Order. In the Consent Order, respondent Robert D. Voth was fined \$5,000 and respondents Voth and Holmes, Peck & Brown, Inc., were ordered to cease and desist from selling unregistered securities and transacting business as broker-dealers or agents without registration.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.